

A circular black and white stamp. The text "OPE" is at the top, "LAPAT" is at the top right, "AUG 22 2006" is in the center, and "PATENT &amp; TRADEMARK OFFICE" is at the bottom.

**PATENT**  
Atty. Dkt. No. APPM/4100.P9(Y8)/PPC/CMP/CKIM

More Application of:  
Hu et al.

Patent No.: 7,077,721

Issued: July 18, 2006

Serial No.: 10/727,724

Filed: December 3, 2003

For: PAD ASSEMBLY FOR  
ELECTROCHEMICAL  
MECHANICAL  
PROCESSING

Certificate of Correction Branch  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

~~~~~


Group Art Unit: 3723

Examiner: David B. Thomas

**Certificate**  
AUG 24 2006  
**of Correction**

CERTIFICATE OF MAILING  
37 CFR 1.8

I hereby certify that this correspondence is being deposited on  
8/11/06, 2006 with the United States Postal Service as  
First Class Mail in an envelope addressed to: Certificate of  
Correction Branch, Commissioner for Patents, P.O. Box 1450  
Alexandria, VA 22313-1450

8/18/06 

Date Signature

Dear Sir:

## REQUEST FOR CERTIFICATE OF CORRECTION

Attached is a Certificate of Correction for correcting several errors throughout the printed patent.

The correct Related U.S. Application Data was given in the Reply to Response to Request for Corrected Filing Receipt, filed June 29, 2004, a copy of which is attached hereto. The error on the printed patent is an error in the order of the clauses, resulting in a change of meaning.

Applicants submit that the errors mentioned above were not made by the applicants, but were made during the printing of the patent. Accordingly, the applicants believe that no fee is due for the Certificate of Correction.

Respectfully submitted,

Kevin W. Zehr

Keith M. Tackett  
Registration No. 32,008

AUG 25 2006

PATTERSON & SHERIDAN, L.L.P.  
3040 Post Oak Blvd. Suite 1500  
Houston, TX 77056  
Telephone: (713) 623-4844  
Facsimile: (713) 623-4846  
Agent for Applicant(s)

## UNITED STATES PATENT AND TRADEMARK OFFICE

### CERTIFICATE OF CORRECTION

PATENT NO. : 7,077,721

Page 1 of 1

APPLICATION NO. : 10/727,724

DATED : July 18, 2006

INVENTOR(S) : Yongqi HU, Stan D. TSAI, Yan WANG, Feng Q. LIU, Shou-Sung CHANG, Liang-Yuh CHEN

It is certified that error appears in the above-identified patent and that said Letters Patent are hereby corrected as shown below:

#### On the Cover of the Patent

Item [63], Related U.S. Application Data: The Related U.S. Application Data should read:

Continuation-in-part of application No. 10/642,128, filed on Aug. 15, 2003, now Pat. No. 6,962,524, which is a continuation-in-part of application No. 10/608,513, filed on Jun. 26, 2003, which is a continuation-in-part of application No. 10/104,010, filed on May 7, 2002, now Pat. No. 6,979,248,  
and a continuation-in-part of application No. 10/211,626, filed on Aug. 2, 2002, which is a continuation-in-part of application No. 10/033,732, filed on Dec. 27, 2001, which is a continuation-in-part of application No. 09/505,899, filed on Feb. 17, 2000, now Pat. No. 6,537,144,  
said application No. 10/608,513 is a continuation-in-part of application No. 10/210,972, filed on Aug. 2, 2002,  
which is also a continuation-in-part of application No. 09/505,899, filed on Feb. 17, 2000, now Pat. No. 6,537,144,  
and said application No. 10/608,513 is a continuation-in-part of application No. 10/151,538, filed on May 16, 2002, now abandoned,  
said application No. 10/642,128 is a continuation-in-part of application No. 10/391,324, filed on Mar. 18, 2003,  
and said application No. 10/642,128 is a continuation-in-part of application No. 10/244,697, filed Sep. 16, 2002,  
and a continuation-in-part of application No. 10/244,688, filed on Sep. 16, 2002, now Pat. No. 6,848,970.

#### In the Specification

Column 1, Line 49: Change "technique'used" to --technique used--

MAILING ADDRESS OF SENDER (Please do not use customer number below):

Keith M. Tackett  
PATTERSON & SHERIDAN, L.L.P.  
3040 Post Oak Blvd., Suite 1500  
Houston, TX 77056-6582

This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



In re Application of:  
Hu, et al.

Serial No.: 10/727,724

Filed: December 3, 2003

Confirmation No.: 6901

For: Pad Assembly for Electrochemical  
Mechanical Processing

Commissioner for Patents  
Office of Initial Patent Examination  
Filing Receipt Corrections  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Group Art Unit: 3723

Examiner: Unassigned

**CERTIFICATE OF FACSIMILE  
TRANSMISSION UNDER 37 CFR 1.8**

I hereby certify that this correspondence and the documents referred to as attached therein are being facsimile transmitted to the U.S. Patent and Trademark Office, Office of Initial Patent Examination, Fax No. (703) 746-9195 on the date below.

Date \_\_\_\_\_

Signature \_\_\_\_\_

## REPLY TO RESPONSE TO REQUEST FOR CORRECTED FILING RECEIPT

Applicants received the Response to Request for Corrected Filing Receipt, dated May 25, 2004.

In reply, Applicants submit page 1 of the specification as filed on December 2, 2003, and a copy of the Combined Declaration and Power of Attorney for the above-identified application. Both documents identify the continuing relationship as claimed under 35 U.S.C. § 120.

As such, please update the official filing receipt to include the complete application relationship as identified below:

This application is a CIP of 10/642,128 08/15/2003  
which is a CIP of 10/608,513 06/26/2003  
which is a CIP of 10/140,010 05/07/2002  
and is a CIP of 10/211,626 08/02/2002  
which is a CIP of 10/033,732 12/27/2001  
which is a CIP of 09/505,899 02/17/2000 PAT 6,537,144  
and said 10/608,513 06/26/2003  
is a CIP of 10/210,972 08/02/2002  
which is a CIP of 09/505,899 02/17/2000 PAT 6,537,144  
and said 10/608,513 06/26/2003  
is a CIP of 10/151,538 05/16/2002  
and said 10/642,128 08/15/2002  
is a CIP of 10/244,697 09/16/2002  
which is a CIP of 10/244,688 09/16/2002  
and said 10/391,324 03/18/2003 [INSERT]

Attached is a copy of the Filing Receipt with the above changes noted thereon. Please correct the error or notify the Applicants of the reasons for denying the request.

Respectfully submitted,

A handwritten signature in cursive script, reading "B. Todd Patterson", is written over a horizontal line.

B. Todd Patterson  
Registration No. 37,906  
MOSER, PATTERSON & SHERIDAN, L.L.P.  
3040 Post Oak Blvd. Suite 1500  
Houston, TX 77056  
Telephone: (713) 623-4844  
Facsimile: (713) 623-4846  
Agent for Applicant(s)



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

| APPLICATION NUMBER | FILING OR 371(c) DATE | FIRST NAMED APPLICANT | ATTY. DOCKET NO./TITLE |
|--------------------|-----------------------|-----------------------|------------------------|
| 10/727,724         | 12/03/2003            | Yongqi Hu             | 4100P9/CMP/CMP/RKK     |

CONFIRMATION NO. 6901

\*QC000000012761820\*

Patent Counsel  
 Applied Materials, Inc.  
 P.O. Box 450A  
 Santa Clara, CA 95052

*Not sure when  
 date they filed  
 I have 8/03  
 parent of 7*

Date Mailed: 05/25/2004

## RESPONSE TO REQUEST FOR CORRECTED FILING RECEIPT

### Domestic Continuity and Foreign Priority

In response to your request for a corrected Filing Receipt, the Office is unable to comply with the request because:

- ☐ The priority or continuity claim has not been entered because it was not filed during the required time period. Applicant may wish to consider filing a petition to accept an unintentionally delayed claim for priority. See 37 CFR 1.55 or 1.78.
- ☐ Continuity claimed under 35 U.S.C. § 120 cannot be added to the Filing Receipt without the applicant supplying the relationship (continuation, divisional, or continuation-in-part) in an Application Data Sheet or amendment to the first page of the specification.
- ☒ A claim for priority cannot be made based on an application filed after the application making the claim.
- ☐ Domestic benefit and foreign priority claims will not be captured in a provisional application. A provisional application is not entitled to a right of priority or to the benefit of an earlier filing date of any other application. See 35 U.S.C. § 111(b)(7) and 37 CFR 1.53(c)(4).
- ☐ A domestic continuity claim cannot be made to a foreign application and the filing receipt will only list the foreign country, application number, and filing date.
- ☐ Foreign priority will appear on the Filing Receipt in the following order: **Country, Application number, Filing date.**
- ☐ This application is the result of a conversion from a provisional application. Priority based on such application cannot be made since it no longer exists as a provisional application.
- ☐ The application(s) to which priority is claimed were filed over a year prior to the filing date of this

application. Therefore, the referenced application(s) cannot be claimed as domestic or foreign priority.

- ☐ To change the benefit claim of a U.S. prior-filed application, applicant must amend the first sentence of the specification (if the benefit claim is referenced in the specification), or provide a supplemental application data sheet (ADS) (if the benefit claim was submitted in an ADS), with the desired benefit claim. Note that once a benefit claim is deleted, applicant will not be able to claim such prior-filed application again, if the above-identified application was filed on or after November 29, 2000.
- ☐ To change a foreign priority claim, applicant must submit a supplemental oath or declaration (if the priority claim is referenced in the oath or declaration), or a supplemental application data sheet (ADS) (if the priority claim was submitted in an ADS), with the desired priority claim. If a supplemental ADS is submitted, any deletions should be shown with strikeouts. Note that once a priority claim is deleted, applicant will not be able to claim such foreign application again, if the above-identified application was filed on or after November 29, 2000.

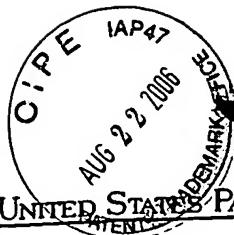
  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART I - ATTORNEY/APPLICANT COPY







COPY

## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

| APPL NO.   | FILING OR 371<br>(c) DATE | ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO    | DRAWINGS | TOT CLMS | IND CLMS |
|------------|---------------------------|----------|---------------|--------------------|----------|----------|----------|
| 10/727,724 | 12/03/2003                | 3723     | 950           | 4100P9/CMP/CMP/RKK | 5        | 30       | 3        |

CONFIRMATION NO. 6901

Patent Counsel  
Applied Materials, Inc. ✓  
P.O. Box 450A  
Santa Clara, CA 95052

## FILING RECEIPT



\*OC000000012027291\*

MAR 10 2004

Date Mailed: 03/05/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

- ✓ Yongqi Hu, Campbell, CA;
- ✓ Stan D. Tsai, Fremont, CA;
- ✓ Yan Wang, Sunnyvale, CA;
- ✓ Feng Q. Liu, San Jose, CA;
- ✓ Shou-Sung Chang, Stanford, CA;
- ✓ Liang-Yuh Chen, Foster City, CA;

## Assignment For Published Patent Application

Applied Materials, Inc.; ✓

## Domestic Priority data as claimed by applicant

This application is a CIP of 10/642,128 08/15/2003 ✓  
 which is a CIP of 10/608,513 06/26/2003 ✓  
 which is a CIP of 10/140,010 05/07/2002 ✓  
 and is a CIP of 10/211,626 08/02/2002 ✓  
 which is a CIP of 10/033,732 12/27/2001 ✓  
 which is a CIP of 09/505,899 02/17/2000 PAT 6,537,144 ✓  
 and said 10/608,513 06/26/2003 ✓  
 is a CIP of 10/210,972 08/02/2002 ✓  
 which is a CIP of 09/505,899 02/17/2000 PAT 6,537,144 ✓  
 and said 10/608,513 06/26/2003 ✓  
 is a CIP of 10/151,538 05/16/2002 ✓  
 and said 10/642,128 08/15/2003 ✓  
 is a CIP of 10/244,697 09/16/2002 ✓  
 which is a CIP of 10/244,688 09/16/2002 ✓  
 and a CIP of 10/341,324 03/18/2003 ✓

**Foreign Applications****If Required, Foreign Filing License Granted:** 03/03/2004**Projected Publication Date:** 06/10/2004**Non-Publication Request:** No**Early Publication Request:** No**Title**

Pad assembly for electrochemical mechanical processing ✓

**Preliminary Class**

451

---

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

DOCKET No.: AMAT/4100 P9/CMP/CMP/RKK  
SERIAL No.: 10/727724  
FILED: December 3, 2003  
APPLICANT: Applied Materials, Inc.  
INVENTOR: Hu, et al.

The Patent & Trademark Office acknowledges and has stamped hereon the date of receipt of the items checked below which were mailed May 10, 2004

- ☐ AFFIDAVIT  
☐ AMENDMENT  
☐ APPLICATION PAPERS - OATH/DECLARATION  
☐ TOTAL CLS. IND. CLS. FEE \$  
☐ SHEET(S) OF DRAWING(S) FORMAL/INFORMAL  
☐ ASSIGNMENT-RECORDAL FEE \$  
☐ BRIEF  
☐ APPEAL NOTICE  
☐ DECLARATION  
☐ ISSUE FEE - BASE/BALANCE  
☐ LETTER - CHARGE DEPOSIT ACCOUNT  
☐ LETTER  
☐ TRADEMARK/SERVICE MARK APPLICATION  
☐ PETITION  
☐ PRELIMINARY AMENDMENT  
☐ INFORMATION DISCLOSURE STATEMENT  
☐ REQUEST FOR EXTENSION OF TIME  
☐ RESPONSE TO  
☐ SPECIMENS  
☐ SMALL ENTITY  
☐ CHECK # IN THE AMOUNT OF \$  
☒ Request for Correction of Error on Filing Receipt

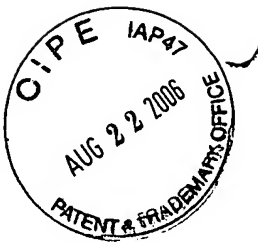
EXPRESS MAIL # 17989 MAIL LOG # 17989

DOCKET No.: APPM/4100 P9/CMP/CMP/RKK  
SERIAL No.: 10/727724  
FILED: December 3, 2003  
APPLICANT: Applied Materials, Inc.  
INVENTOR: Hu, et al.

The Patent & Trademark Office acknowledges and has stamped hereon the date of receipt of the items checked below which were mailed May 10, 2004

- ☐ AFFIDAVIT  
☐ AMENDMENT  
☐ APPLICATION PAPERS - OATH/DECLARATION  
☐ TOTAL CLS. IND. CLS. FEE \$  
☐ SHEET(S) OF DRAWING(S) FORMAL/INFORMAL  
☐ ASSIGNMENT-RECORDAL FEE \$  
☐ BRIEF  
☐ APPEAL NOTICE  
☐ DECLARATION  
☐ ISSUE FEE - BASE/BALANCE  
☐ LETTER - CHARGE DEPOSIT ACCOUNT  
☐ LETTER  
☐ TRADEMARK/SERVICE MARK APPLICATION  
☐ PETITION  
☐ PRELIMINARY AMENDMENT  
☐ INFORMATION DISCLOSURE STATEMENT  
☐ REQUEST FOR EXTENSION OF TIME  
☐ RESPONSE TO  
☐ SPECIMENS  
☐ SMALL ENTITY  
☐ CHECK # IN THE AMOUNT OF \$  
☒ Request for Correction of Error on Filing Receipt

EXPRESS MAIL # 17989 MAIL LOG # 17989





Atty. Dkt. No. 4100P9/CMP/CMP/RKK

**COMBINED DECLARATION AND POWER OF ATTORNEY**

As a below named inventor, I hereby declare that:

This declaration is of the following type:

- ☐ original
- ☐ divisional
- ☐ continuation
- ☒ continuation-in-part

**INVENTORSHIP IDENTIFICATION**

My residence, post office address and citizenship are as stated below next to my name. I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**PAD ASSEMBLY FOR ELECTROCHEMICAL MECHANICAL PROCESSING**

**SPECIFICATION IDENTIFICATION**

The specification of which:

- ☒ is attached hereto
- ☐ was filed on \_\_\_\_\_, under Serial No. \_\_\_\_\_, executed on even date herewith; or
- ☐ Express Mail No.(as Serial No. not yet known)
- ☐ and was amended on \_\_\_\_\_ (if applicable)
- ☐ was described and claimed in PCT International Application No. \_\_\_\_\_
- ☐ filed on \_\_\_\_\_ and as amended under PCT Article 19 on \_\_\_\_\_

**ACKNOWLEDGMENT OF REVIEW OF PAPERS AND DUTY OF CANDOR**

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose all information I know to be material to patentability in accordance with Title 37, Code of Federal Regulations, §1.56, and which is material to the examination of this application; namely, information where there is a substantial likelihood that a reasonable Examiner would consider it important in deciding whether to allow the application to issue as a patent, and

- ☐ In compliance with this duty there is attached an Information Disclosure Statement in accordance with 37 CFR §1.98.

**PRIORITY CLAIM (35 U.S.C. §119)**

I hereby claim foreign priority benefits under Title 35, United States Code, §119, of any provisional or foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below, and have also identified below any provisional or foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed.

☒ No such applications have been filed.

☐ Such applications have been filed as follows:

- A. Prior foreign/PCT application(s) filed within 12 mos. (6 mos. for design) prior to this application, and any priority claims under 35 U.S.C. §119

| <u>Country/PCT</u> | <u>Application No</u> | <u>Date Filed</u> | <u>Priority Claimed</u> |
|--------------------|-----------------------|-------------------|-------------------------|
|--------------------|-----------------------|-------------------|-------------------------|

|                              |                             |
|------------------------------|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| <input type="checkbox"/> Yes | <input type="checkbox"/> No |

- B. All foreign application(s), if any, filed more than 12 mos. (6 mos for design) prior to this U.S. application

Country:

Application No:

Filing date:

- C. U.S. Provisional Application filed within 12 months prior to this application

Serial No.

Filing Date

**PRIORITY CLAIM (35 U.S.C. §120)**

I hereby claim the benefit under Title 35, United States Code, §120, of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information that is material to the examination of this application (namely, information where there is substantial likelihood that a reasonable Examiner would consider it important in deciding whether to allow the application to issue as a patent) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application.

☐ No such applications have been filed

☒ Such applications have been filed, as follows:

| Serial No. | Filing Date        | Status   |         |           |
|------------|--------------------|----------|---------|-----------|
|            |                    | Patented | Pending | Abandoned |
| 10/642,128 | August 15, 2003    |          | X       |           |
| 10/608,513 | June 26, 2003      |          | X       |           |
| 10/140,010 | May 7, 2002        |          | X       |           |
| 10/211,626 | August 2, 2002     |          | X       |           |
| 10/033,732 | December 27, 2001  |          | X       |           |
| 09/505,899 | February 17, 2000  | (ISSUED) |         |           |
| 10/210,972 | August 2, 2002     |          | X       |           |
| 10/151,538 | May 16, 2002       |          | X       |           |
| 10/244,697 | September 16, 2002 |          | X       |           |
| 10/244,688 | September 16, 2002 |          | X       |           |
| 10/391,324 | March 18, 2003     |          | X       |           |

#### POWER OF ATTORNEY

I hereby appoint the following attorneys and/or agents to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

|                       |                         |
|-----------------------|-------------------------|
| Donald Verplancken    | Registration No. 33,217 |
| Peter J. Sgarbossa    | Registration No. 25,610 |
| Raymond Kam-On Kwong  | Registration No. 37,165 |
| Joseph Bach           | Registration No. 37,771 |
| James C. Wilson       | Registration No. 35,412 |
| Robert W. Mulcahy     | Registration No. 25,436 |
| B. Todd Patterson     | Registration No. 37,906 |
| Raymond R. Moser, Jr. | Registration No. 34,682 |
| Keith M. Tackett      | Registration No. 32,008 |

Send correspondence to:

Direct telephone calls to:

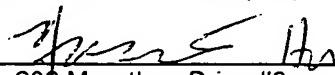
Patent Counsel  
Applied Materials, Inc.  
P.O. Box 450-A  
Santa Clara, CA 95052

B. Todd Patterson  
Moser, Patterson & Sheridan, LLP  
(713) 623-4844

#### DECLARATION

*I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and, further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Sec. 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patents issued thereon.*

Full name of sole or first inventor: YONGQI HU

Inventor's signature: 

Date: 12/01/2003

Residence:

600 Marathon Drive #9  
Campbell, CA 95008

Post Office Address:

Same as above  
U.S.A.

Country of Citizenship: China

Full name of second inventor: **STAN D. TSAI**

Inventor's signature: 

Date: Dec. 1/03

Residence: 5444 Dekker Terrace  
Fremont, CA 94555

Post Office Address: Same as above  
U.S.A.

Country of Citizenship: Canada

Full name of third inventor: **YAN WANG**

Inventor's signature: 

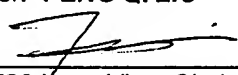
Date: Dec. 1/03

Residence: 920 Rockefeller Drive #11B  
Sunnyvale, CA 94087

Post Office Address: Same as above  
U.S.A.

Country of Citizenship: P.R. of China

Full name of fourth inventor: **FENG Q. LIU**

Inventor's signature: 

Date: Dec. 01, 03

Residence: 4729 Lago Vista Circle  
San Jose, CA 95129

Post Office Address: Same as above  
U.S.A.

Country of Citizenship: P.R. of China

Full name of fifth inventor: **SHOU-SUNG CHANG**

Inventor's signature: 

Date: Dec. 02, 2003

Residence: P.O. Box 19462  
Stanford, CA 94309

Post Office Address: Same as above  
U.S.A.

Country of Citizenship: Taiwan

Full name of sixth inventor: **LIANG-YUH CHEN**

Inventor's signature: 

Date: Dec. 01, 2003

Residence: 1400 Melbourne Street  
Foster City, CA 94404

Post Office Address: Same as above  
U.S.A.

Country of Citizenship: Taiwan

(DECLARATION ENDS WITH THIS PAGE)



UNITED STATES PATENT APPLICATION FOR:

**PAD ASSEMBLY FOR ELECTROCHEMICAL  
MECHANICAL PROCESSING**

**INVENTORS:**

**YONGQI HU  
STAN D. TSAI  
YAN WANG  
FENG Q. LIU  
SHOU-SUNG CHANG  
LIANG-YUH CHEN**

**CERTIFICATION OF MAILING UNDER 37 C.F.R. 1.10**

I hereby certify that this New Application and the documents referred to as enclosed therein are being deposited with the United States Postal Service on 12-3-03, in an envelope marked as "Express Mail United States Postal Service", Mailing Label No. EV34110988445, addressed to: Mail Stop PATENT APPLICATION, Commissioner for Patents, Box 1450, Alexandria, VA 22313-1450.

  
Signature

Emma Koh  
Name

DECEMBER 3, 2003  
Date of signature

**DOCKET NO. 4100P9/CMP/CMP/RKK**

**MOSER, PATTERSON & SHERIDAN, LLP  
3040 Post Oak Boulevard  
Suite 1040  
Houston, TX 77056**





## **PAD ASSEMBLY FOR ELECTROCHEMICAL MECHANICAL PROCESSING**

### **CROSS-REFERENCE TO RELATED APPLICATIONS**

[0001] This application is a continuation-in-part of co-pending United States Patent Application Serial No. 10/642,128, filed August 15, 2003 (hereinafter the '128 application). The '128 application is a continuation-in-part of co-pending United States Patent Application Serial No. 10/608,513, filed June 26, 2003 (hereinafter the '513 application), which is a continuation-in-part of co-pending United States Patent Application No. 10/140,010, filed May 7, 2002. The '513 application is also a continuation-in-part of co-pending United States Patent Application No. 10/211,626, filed August 2, 2002, which is a continuation-in-part of co-pending United States Patent Application No. 10/033,732, filed December 27, 2001, which is a continuation-in-part of United States Patent Application No. 09/505,899, filed February 17, 2000. The '513 application is additionally a continuation-in-part of co-pending United States Patent Application Serial No. 10/210,972, filed August 2, 2002, which is also a continuation-in-part of United States Patent Application No. 09/505,899, filed February 17, 2000. The '513 application is further continuation-in-part of co-pending United States Patent Application No. 10/151,538, filed May 16, 2002. The '128 application is also a continuation-in-part of co-pending United States Patent Application Serial No. 10/244,697, filed September 16, 2002, which is a continuation-in-part of United States Application Serial No. 10/244,688, filed September 16, 2002, and of co-pending United States Patent Application Serial No. 10/391,324, filed March 18, 2003. All of the above referenced applications are hereby incorporated by reference in their entireties.

[0002] This application is additionally related to United States Patent Application Serial No. 10/033,732, filed on December 27, 2001; United States Patent Application Serial No. 10/455,941, filed June 6, 2003; and United States Patent Application Serial No. 10,455,895, filed June 6, 2003, all of which are also incorporated herein by reference in their entireties.

# Confirmation Report - Memory Send



Page : 001  
 Date & Time: Jun-29-04 10:03am  
 Line 1 : +713 623 4846  
 Line 2 :  
 E-mail :  
 Machine ID : Moser, Patterson & Sheridan L.L.P.

Job number : 129  
 Date : Jun-29 09:59am  
 To : 17037469195  
 Number of pages : 015  
 Start time : Jun-29 09:59am  
 End time : Jun-29 10:03am  
 Pages sent : 015  
 Status : OK

Job number : 129

\*\*\* SEND SUCCESSFUL \*\*\*

**MOSER  
 PATTERSON &  
 SHERIDAN, LLP**  
 ATTORNEYS AT LAW

3040 Post Oak Blvd, Suite 1600  
 Houston, TX 77056-6582  
 TEL 713.623.4844  
 FAX 713.623.4846  
 WWW.MPSLI.P.COM

## FACSIMILE COVER SHEET

DATE: June 29, 2004  
 FILE NO: AMAT/4100.P9  
 TO: Office of Initial Patent Examination  
 FAX NO: (703) 746-9195  
 PHONE NO:  
 COMPANY: USPTO  
 FROM: B. Todd Patterson / Penny Moses  
 PAGE(S) with cover: 15

ORIGINAL TO FOLLOW?

☐ YES ☒ NO

TITLE:  
 U.S. SERIAL NO.:  
 FILING DATE:  
 INVENTOR:  
 EXAMINER:  
 GROUP ART UNIT:  
 CONFIRMATION NO.:

Pad Assembly for Electrochemical Mechanical Processing  
 10/727,724  
 December 3, 2003  
 Hu, et al.  
 Unassigned  
 3723  
 6901

MESSAGE:

Please see the attached "Reply to Response to Request for Corrected Filing Receipt".

### CONFIDENTIALITY NOTE

The document accompanying this facsimile transmission contains information from the law firm of Moser, Patterson & Sheridan, L.L.P. which is confidential or privileged. The information is intended to be for the use of the individual or entity named on this transmission sheet. If you are not the intended recipient, be aware that any disclosure, copying, distribution or use of the contents of this faxed information is prohibited. If you have received this facsimile in error, please notify us by telephone immediately so that we can arrange for the retrieval of the original documents at no cost to you.

217648\_1



## FACSIMILE COVER SHEET

**DATE:** June 29, 2004

**FILE NO:** AMAT/4100.P9

**TO:** Office of Initial Patent Examination

**FAX NO:** (703) 746-9195

**PHONE NO:**

**COMPANY:** USPTO

**FROM:** B. Todd Patterson / Penny Moses

**PAGE(S) with cover:** 15

**ORIGINAL TO FOLLOW?** ☐ YES ☒ NO

**TITLE:** Pad Assembly for Electrochemical Mechanical Processing

**U.S. SERIAL NO.:** 10/727,724

**FILING DATE:** December 3, 2003

**INVENTOR:** Hu, et al.

**EXAMINER:** Unassigned

**GROUP ART UNIT:** 3723

**CONFIRMATION NO.:** 6901

**MESSAGE:** Please see the attached "Reply to Response to Request for Corrected Filing Receipt".

### CONFIDENTIALITY NOTE

The document accompanying this facsimile transmission contains information from the law firm of Moser, Patterson & Sheridan, L.L.P. which is confidential or privileged. The information is intended to be for the use of the individual or entity named on this transmission sheet. If you are not the intended recipient, be aware that any disclosure, copying, distribution or use of the contents of this faxed information is prohibited. If you have received this facsimile in error, please notify us by telephone immediately so that we can arrange for the retrieval of the original documents at no cost to you.

## Auto-Reply Facsimile Transmission



TO:

Fax Sender at +7136234846

Fax Information

Date Received:

6/29/2004 10:59:30 AM [Eastern Daylight Time]

Total Pages:

15 (including cover page)

**ADVISORY:** This is an automatically generated return receipt confirmation of the facsimile transmission received by the Office. Please check to make sure that the number of pages listed as received in Total Pages above matches what was intended to be sent. Applicants are advised to retain this receipt in the unlikely event that proof of this facsimile transmission is necessary. Applicants are also advised to use the certificate of facsimile transmission procedures set forth in 37 CFR 1.8(a) and (b), 37 CFR 1.6(f). Trademark Applicants, also see the Trademark Manual of Examining Procedure (TMEP) section 306 et seq.

Received  
Cover  
Page  
=====>

Jun-29-04 09:59am From: Moser, Patterson & Sheridan L.L.P. 4713 623 4846 T-166 P.001 F-128

**MOSER  
PATTERSON &  
SHERIDAN, LLP**  
ATTORNEYS AT LAW

3000 Post Oak Blvd, Suite 1500  
Houston, TX 77056-6582  
TEL 713.523.1814  
FAX 713.523.4846  
WWW.MPS.LLP.COM

### FACSIMILE COVER SHEET

**DATE:** June 28, 2004  
**FILE NO:** AMAT/4100.P4  
**TO:** Office of Initial Patent Examination  
**FAX NO:** (703) 740-9195  
**PHONE NO:**  
**COMPANY:** USPTO  
**FROM:** B. Todd Patterson / Penrye Moses  
**PAGE(S) with cover:** 15  
**ORIGINAL TO FOLLOW?** ☐ YES ☒ NO  
**TITLE:** Pad Assembly for Electrochemical Mechanical Processing  
**U.S. SERIAL NO.:** 10/727,724  
**FILING DATE:** December 3, 2003  
**INVENTOR:** Hu, et al.  
**EXAMINER:** Unassigned  
**GROUP ART UNIT:** 3723  
**CONFIRMATION NO.:** 6901

**MESSAGE:** Please see the attached "Reply to Response to Request for Corrected Filing Receipt".

#### CONFIDENTIALITY NOTE

The document accompanying this facsimile transmission contains information from the law firm of Moser, Patterson & Sheridan, L.L.P. which is confidential or privileged. The information is intended to be for the use of the individual or entity named on this transmission sheet. If you are not the intended recipient, be aware that any disclosure, copying, distribution or use of the contents of this faxed information is prohibited. If you have received this facsimile in error, please notify us by telephone immediately so that we can arrange for the retrieval of the original documents at no cost to you.

217648\_1

PAGE 1/15 \* RCVD AT 6/29/2004 10:59:30 AM [Eastern Daylight Time] \* SVR:USPTO-EFAX-20 \* DNR:7469195 \* C8ID:+7136234846 \* DURATION (mm-ss):04-46